



Dryden Flight Research Center
Edwards, California 93523-0273

DOP-A-009
Revision: A

Dryden Organizational Procedure

CODE A

TRANSFER OF PROCUREMENT FILES TO CLOSEOUT

Electronically Approved by:
Chief, Acquisition Management Office

ALL DOCUMENTS ON THIS SITE
<http://www.dfrc.nasa.gov/DMS/dms.html>
ARE FOR REFERENCE ONLY
THIS SITE IS UPDATED EVERY 30 DAYS

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 1 of 6

DOCUMENT HISTORY PAGE

This page is for informational purposes and does not need to be retained with the document.

DATE APPROVED	ISSUE	PAGE	AMENDMENT DETAILS
11-03-98	Baseline		
See IDMS Document Master List	Revision A	All	Added signature block to cover page. Changed number referencing. Added purpose and changed references to applicable documents. Changed procedure section to instructions. Clarified instructions and substituted titles for people's names in the document.

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 2 of 6

TRANSFER OF PROCUREMENT FILES TO CLOSEOUT

1. PURPOSE

This procedure identifies the processes to be used in the closeout of all Acquisition Management Office (AMO) procurement files.

2. APPLICABLE DOCUMENTS

FAR 4.804 *Closeout of Contract Files*

NFS 1804.804 *Closeout of Contract Files*

NPG 5800.1D *Grant and Cooperative Agreement Handbook*

NASA HQs Letter *Quarterly Reports on Inactive Awards with Un-liquidated Balances*
Dated July 23, 1996

3. CLOSEOUT STANDARDS

Procurement Document	Time from Completion Date
Grants/Cooperative Agreements	6 months (HQs letter)
Purchase Orders	2 months (HQs letter; FAR 4.804-1(a)(1))
Intra-governmental Orders	6 months (HQs letter)
Contract (FFP)	6 months (FAR 4.804-1(a)(2))
Contract (Cost-reimbursable)	36 months (FAR 4.804-1(a)(3))

4. INSTRUCTIONS (FAR 4.804-5)

a. General

- (1) Closeout actions are initiated when a contract/purchase order/grant is physically complete. A contract/purchase order/grant is considered physically complete by evidence of a final Receiving and Inspection report or final Report. The contract is not physically complete until all articles and services called for under the contract, including such related items as reports, spare parts, and exhibits, have been delivered to and accepted by the Government.
- (2) Do not close out documents in the Acquisition Management System (AMS) until all closeout actions are completed and the forms are signed.

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 3 of 6

- (3) A file shall not be closed out if the contract/purchase order/grant is in litigation or under appeal, or in the case of a termination, all termination actions have not been completed.
- (4) Closeout of a contract/purchase order/grant is the responsibility of the Contracting Officer. Under the direction of the Contracting Officer, performance of the closeout action is assigned to the AMO support personnel.

b. Contracts

- (1) Determine closeout method, forms and actions needed for the contract. The NF 1612 is to be used to determine the specific actions required to closeout each acquisition. Quick closeout procedures shall be used for ALL cost-type contracts meeting the criteria cited in FAR 42.708 and NFS 1842.708. Closeout documents are to be filed under Tab 114 of the NF 1098. The NF 1612 is to be filed on top, followed by the NF 1611, and all supporting documents referenced in the checklist. A separate file may be established for closeout documents if needed.
- (2) Issue closeout letters after physical completion. The closeout out letter template is located at *X:/Xaa/Cookbook/Far04*. The close out letter is used to remind the contractor of closeout documentation requirements. Send copies to the cognizant offices. The sample letters show the most common closeout actions, and should be tailored to fit each acquisition.
- (3) After the contract is physically complete, change the contract status from active to inactive in the AMS.
- (4) Follow-up on missing items, i.e., notice of final payment and new technology certification.
- (5) Complete and sign all forms.
- (6) Place ALL contract files in the lektriever for staging.
- (7) Change contract status to closed in the AMS.

c. Purchase Orders (POs)

- (1) A PO should be considered closed upon acquiring evidence showing the receipt of property and final payment.
- (2) Accomplish follow-up in a timely manner to expedite closeout of the PO.

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 4 of 6

- (3) Place physically completed POs in the holding file to await Notice of Final Payment. Change the PO status to inactive in the AMS.
- (4) Staging of contracts/grants/POs is the responsibility of the AMO support personnel assigned the task

d. Grants/Cooperative Agreements

If a grant's estimated date of completion has past, but is listed as "active" on the SAR 400 report, verify with the Grants Officer if the grant is physically complete, or is to be extended. If the grant is to be extended, a new estimated date of completion shall be inputted into the AMS system. If the grant is physically complete, change the status to "inactive" on the system.

Use the closeout section of Form A-23, *Checklist for Grant/Cooperative Agreement File Content* (found in the grant file), as a guide to the documents required for closeout. Check off the closeout documents as they are obtained.

- **Letter Requesting Closeout** - Send a closeout letter to the grant recipient (if it has not already been sent). The closeout letter template is located at *X:/Xaa/Cookbook/Grants/Grantclo*.
- **Final Technical Report** - A final technical report or summary of research is due within 90 days after the grant expiration date. Sometimes journal publications, conference papers, etc. are used in lieu of a final report. Check with the assigned Grants Officer and/or the Technical Monitor/Officer (TO) to obtain a copy of the report, which should be maintained in the grant file. A statement of receipt and acceptance of the final technical report by the TO is required in addition to the report itself. The template for the statement is located at *X:/Xaa/Cookbook/Grants/Techrpt*.
- **Property Clearance** - Determine if closeout and/or property administration have been delegated to the Office of Naval Research (ONR). A letter of delegation (See Tab 14 of the grant file) evidences delegation to ONR. If the letter is not present, it is recommended to contact the appropriate ONR office to verify the delegation of the closeout/property administration.

Determine whether or not there is government-furnished property on the grant. Look for inventory lists or other evidence of property in the file, and check with the TO. The grant recipient must submit a final *Inventory Report of Federally Owned Property* within 60 days after the grant expires, regardless if there is no property furnished under the grant. If a report is not received within 60 days after the grant's expiration date, contact the grant recipient and request the required report.

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 5 of 6

Property clearance will occur in one of four ways:

- A. Property Clearance (DD Form 1593) (ONR). If property administration has been delegated to ONR, they must submit a DD Form 1593.
- B. Contract Completion Statement (DD Form 1594) & Property Clearance (ONR). If both closeout and property administration have been delegated to ONR, they must submit a DD Form 1594 with property clearance typically included on the same form.
- C. Property Clearance (DD Form 1593) (NASA). If there is government-furnished property on the grant, and property administration has not been delegated to ONR, a DD Form 1593 must be completed and signed by the Grants Officer.
- D. N/A. There is no government-furnished property on the grant. Write "N/A" on the property clearance section of the closeout checklist.

The TO may request that title to any government-furnished property be turned over to the grant recipient. After obtaining this property disposition instruction from the TO, send a property disposition letter to the grant recipient. The disposition letter template is located at *X:/Xaa/Cookbook/Grants/Grntprop*.

- **Property Rights in Inventions** - After the summary of research/final technical report (or final report acceptance memo signed by the TO) has been delivered, send a copy to the Technology Utilization Office, along with a request for an Inventions Report Certification.
- **Final Standard Form 272** - The final SF 272 (*Federal Cash Transaction Report*) is due within 90 days after the grant expiration date. The DFRC Financial Management Office (FMO) has a copy of the final SF 272 report. If the report has not been delivered, and 90 days have past since the grant expired, call the grant recipient and request the report.

Ideally, the report will be cumulative, showing total receipts (what NASA has paid the grant recipient), total net disbursements (what the grant recipient has spent), and a zero balance. However, the grant recipients' reports do differ in the presentation of the information.

To determine total receipts (what NASA has paid the grant recipient) when it is not shown on the final SF 272, check the FMO's ledger, which is usually stapled on the left side of the FMO's grant file folder. Compare total receipts to the total amount of grant funding. Total receipts should equal total grant funding (minus de-obligated

Dryden Organizational Procedure Code A		
Transfer of Procurement Files to Closeout	DOP-A-009	Revision: A
		Page 6 of 6

funds, if any). The final SF 272 must have “final” written on the report and should be signed by an authorized certifying official.

De-obligate any excess funds remaining on the Grant. The de-obligation letter template is located at *X:/Xaa/Cookbook/Grants/Grntdeob*. Examine the FMO’s “019” report to verify the excess funds to be de-obligated. (Note: “NAG” grants are found under “GN” in the report). If the report is not current, check with the FMO for the excess funding.

- **Other:**

A. Notice of Final Payment/Contract Completion - Obtain this document from the FMO after the final SF 272 has been delivered and excess funds have been de-obligated.

B. Contract Completion Statement (DD Form 1594) (ONR) - If closeout administration has been delegated to ONR, they must submit a DD Form 1594.

e. Staging

(1) Staging is the term used when procurement files are prepared and dispositioned to archives. Files are archived in accordance with DCP-F-603, *Archiving Records*.

(2) Files shall be staged as often as necessary considering the space available to store closed actions.

5. LIST OF APPENDICES, DATA, REPORTS, AND FORMS

FORMS: (NFS 4.804-2 and -5) (the most common are listed below)

Form No.	Form Title
A-23	<i>Checklist for Grant/Cooperative Agreement File Content</i>
NF 778	<i>Contractor’s Release</i>
NF 780	<i>Contractor’s Assignment of Refunds, Rebates, Credits, and Other Amounts</i>
NF 1611	<i>Contract Completion Statement</i>
NF 1612	<i>Contract Closeout Checklist</i>
NF 1098	<i>Checklist for Contract Award File Content</i>
DD Form 1593	<i>Property Clearance</i>
DD Form 1594	<i>Contract Completion Statement</i>
SF 272	<i>Federal Cash Transaction Report</i>